

Section 7

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER 37 CFR 1.53(f)/1.63

In the Application of: Wedge, et al. ATTN: Application Branch  
Serial No.: 705,516 Date: March 22, 2001  
Filed: November 2, 2000 Ref.: GWZ-5  
Title: Locomotive Parking Brake Acct. No.: 04-1403

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

The following completes the filing of the above-identified patent application under Rule 53(f)/63:

- ☒ Rule 53 signed Declaration enclosed.
- ☐ This is a Rule 47 filing per attached Petition.
- ☐ Enclosed: Original signed Declaration with attached specification (including claims) which is a copy of specification/claims originally filed to secure above filing date.
- ☐ Specification originally filed in non-English language; hence verified translation attached of:
- ☐ Abstract ☐ \_\_\_\_\_ pgs of Specification (only spec. & claims) ☐ Drawing Figs
- ☐ \_\_\_\_\_ sheet(s) of formal drawings enclosed: size: ☐ A4 ☐ 14" ☐ 8 1/2 by 11
- ☒ Attached is an assignment to Graham-White
- ☐ Priority is hereby claimed under Rule 55 and 35 U.S.C. 119 based on prior foreign application(s) No(s). \_\_\_\_\_, respectively.
- ☐ Certified copy (copies) ☐ attached; ☐ already filed on \_\_\_\_\_ in U.S. Application, Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
- ☐ Attached: \_\_\_\_\_ Verified Statement(s) establishing "small entity" status under Rules 9 & 27.
- ☒ Attached is the requested return copy of the PTO Notice under Rule 53(f)/63
- ☐ Attached:
- ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED  
PER MPEP § 506 AND § 607

If not earlier paid, add Basic Filing Fee.....	\$710.00
Total Effective Claims <u>24</u> - 20 = <u>4</u> x \$18.00 =	\$ 72.00
Independent Claims <u>3</u> - 3 = <u>0</u> x \$80.00 =	
If any <u>proper</u> multiple dependent claim (ignore improper) is present, add \$270.00	
Filing Fee	\$782.00

Since PTO Notice under Rule 53(f)/63 set an original due date of \_\_\_\_\_, petition is hereby made for an extension to cover the date this response is filed for which the requisite fee is enclosed (1 month \$110; 2 months \$390; 3 months \$890; 4 months \$1390)

If this is the <u>first</u> time either signed Declaration filed or filing fee paid, add Surcharge (\$130)	\$130.00
Subtotal	\$
If "small entity" status box above is X'd, enter half (1/2) of subtotal & <u>subtract</u>	\$
Total =	\$

If "non-English" box above is X'd, add Rule 17(k) processing fee (\$130.00)..... \$

If "assignment" box above is X'd, add recording fee (\$40.00)..... \$ 40.00

If "Rule 47" box above is X'd, add Petition fee \$130.00 Rule 17(h)..... \$

TOTAL FEE ENCLOSED \$952.00

The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

ADDRESS:

DORITY & MANNING  
ATTORNEYS AT LAW, P.A.  
Suite 15, 700 E. North Street  
Greenville, South Carolina 29601 By Atty: John E. Vick, Jr. Reg. No. 33,808  
Phone: (864) 271-1592  
FAX (864) 233-7342 Signature \_\_\_\_\_

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231, on  
March 23, 2001

Terry Ballew  
(Typed or printed name of person mailing paper or fee)  
Terry Ballew  
(Signature of person mailing paper or fee)



PTO/SB/17 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 952.00

## Complete if Known

Application Number	09/705,516
Filing Date	November 2, 2000
First Named Inventor	Wedge, et al.
Examiner Name	Not yet known
Group Art Unit	3613
Attorney Docket No.	GWZ-5

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 04-1403  
Deposit Account Name: Dority & Manning, Attorneys at Law, P.A.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 710.00

### 2. EXTRA CLAIM FEES

Total Claims: 24  
Independent Claims: 3  
Multiple Dependent Claims: 21

Extra Claims: 4  
Fee from below: \$18.00  
Fee Paid: \$72.00

3\*\* = 0  
Fee from below: \$0.00  
Fee Paid: \$0.00

Multiple Dependent: 21  
Fee from below: \$0.00  
Fee Paid: \$0.00

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 72.00

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

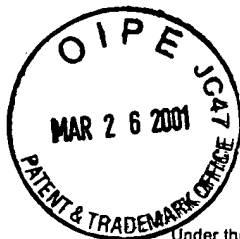
SUBTOTAL (3) (\$) 170.00

## SUBMITTED BY

Name (Print/Type)	John E. Vick Jr.	Registration No. (Attorney/Agent)	33,808	Telephone	864-271-1592
Signature		Date	03/22/2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

952.00

## Complete if Known

Application Number	09/705,516
Filing Date	November 2, 2000
First Named Inventor	Wedge, et al.
Examiner Name	Not yet known
Group Art Unit	3613
Attorney Docket No.	GWZ-5

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

04-1403

Deposit  
Account  
Name

Dority &amp; Manning, Attorneys at Law, P.A.

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

Fee Paid

\$710.00

SUBTOTAL (1) (\$)

710.00

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24	-20** = 4	X \$18.00 =	\$72.00
3	-3** = 0	X \$0.00 =	\$0.00
Multiple Dependent			\$0.00

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

72.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					170.00

## SUBMITTED BY

Name (Print/Type)	John E. Vick Jr.	Registration No. (Attorney/Agent)	33,808	Telephone	864-271-1592
Signature		Date	03/22/2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

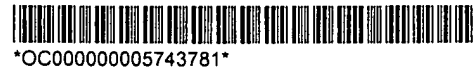
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/705,516	11/02/2000	Leonard F. Wedge	GWZ-5

John E Vick Jr  
Dority & Manning PA  
P O Box 1449  
Greenville, SC 29602

**RECEIVED**

FEB 12 2001

**FORMALITIES LETTER**



\*OC00000005743781\*

**DORITY AND MANNING**

Date Mailed: 02/07/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$72.  
    ■ \$72 for 4 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 912.

*A copy of this notice MUST be returned with the reply.*

*G. Meisel*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 1 - ATTORNEY/APPLICANT COPY

03/26/2001 EEXURAY1 00600019 09705516  
710.00 OP  
72.00 OP  
130.00 OP  
01 FC:101  
02 FC:103  
03 FC:105

